This Page Is Inserted by IFW Operations and is not a part of the Official Record

BEST AVAILABLE IMAGES

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images may include (but are not limited to):

- BLACK BORDERS
- TEXT CUT OFF AT TOP, BOTTOM OR SIDES
- FADED TEXT
- ILLEGIBLE TEXT
- SKEWED/SLANTED IMAGES
- COLORED PHOTOS
- BLACK OR VERY BLACK AND WHITE DARK PHOTOS
- GRAY SCALE DOCUMENTS

IMAGES ARE BEST AVAILABLE COPY.

As rescanning documents will not correct images, please do not report the images to the Image Problem Mailbox.

THIS PAGE BLANK (USPTO)

PCT

WORLD INTELLECTUAL PROPERTY ORGANIZATION International Bureau



INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

WO 98/24738 (51) International Patent Classification 6: (11) International Publication Number: C04B 41/71, E21D 11/10, 11/38, E04B A1 11 June 1998 (11.06.98) (43) International Publication Date: 1/66 // C04B 111/27 (81) Designated States: AU, BR, CA, CN, JP, SG, US, European PCT/EP97/06732 (21) International Application Number: patent (AT, BE, CH, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE). (22) International Filing Date: 1 December 1997 (01.12.97) **Published** (30) Priority Data: With international search report. GB 4 December 1996 (04.12.96) 9625163.2 Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of (71) Applicant (for all designated States except US): MBT HOLDamendments. ING AG [CH/CH]; Vulkanstrasse 110, CH-8048 Zurich (72) Inventors; and (75) Inventors/Applicants (for US only): DISCHÖ, Karoly [CH/CH]; Weiherstrasse 14, CH-8307 Effretikon (CH). OPPLIGER, Max [CH/CH]; Burgfeldermattweg 59, CH-4123 Allschwil (CH).

(54) Title: CEMENT STRUCTURE CONTAINING A WATERPROOFING LAYER

(57) Abstract

A process of providing a waterproof concrete structure comprising the steps of: (a) providing a layer of a concrete composition on a support; (b) spraying on to this concrete composition a waterproofing layer; and (c) applying to the waterproofing layer a further layer of a concrete composition; characterised in that the waterproofing layer is provided by a composition which comprises an aqueous dispersion of coalescable particles of thermoplastic polymer. The method is useful in the waterproofing of tunnel linings.

FOR THE PURPOSES OF INFORMATION ONLY

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AΤ	Austria	FR	France	LU	Luxembourg	SN	Senegal
ΑU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	ТJ	Tajikistan
BE	Befgium	GN	Guinea	MK	The former Yugoslav	TM	Turkmenistan
BF	Burkina Faso	GR	Greece		Republic of Macedonia	TR	Turkey
BG	Bulgaria	HU	Hungary	ML	Mali	TT.	Trinidad and Tobago
BJ	Benin	Œ	Ireland	MN	Mongolia	UA	Ukraine
BR	Brazil	II.	Israel	MR	Mauritania	UG	Uganda
BY	Belarus	IS	Iceland	MW	Malawi	us	United States of America
CA	Canada	ΙT	ltaly	MX	Mexico	UZ.	Uzbekistan
CF	Central African Republic	JР	Japan	NE	Niger	VN	Viet Nam
CG	Congo	KE	Kenya	NL	Netherlands	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NO	Norway	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's	NZ	New Zealand		
CM	Cameroon		Republic of Korea	PL	Poland		
CN	China	KR	Republic of Korea	PT	Portugal		
CU	Cuba	KZ	Kazakstan	RO	Romania		
CZ	Czech Republic	LC	Saint Lucia	RU	Russian Federation		
DE	Germany	LI	Liechtenstein	SD	Sudan		
DK	Denmark	LK	Sri Lanka	SE	Sweden		
EE	Estonia	LR	Liberia	SG	Singapore		

WO 98/24738 PCT/EP97/06732

CEMENT STRUCTURE CONTAINING A WATERPROOFING LAYER

This invention relates to membranes for use in the waterproofing of cementitious structures.

In the provision of cementitious structures, such as the building of tunnels by boring or excavating and then shotcreting, there is often a need to provide waterproofing. This is typically achieved either by providing drainage or by firstly injecting fissures in the rock with materials such as cement, microcement and reactive resin, this being followed by a dayer of shotcrete. To this layer is applied a waterproof membrane, and to this membrane is applied a further layer of shotcrete or in situ concrete. The waterproof membrane is typically a prefabricated sheet of waterproof polymeric material which is anchored in place by, for example, anchoring bolts. The result is thus a "sandwich" construction. Sometimes there may be applied by *in situ* placing or spraying a further layer of concrete with reinforcing (fibres or mesh), or this reinforcing may be incorporated into the final concrete coating.

The labour intensity of such a method, plus the fact that the existing membranes have not been wholly satisfactory, particularly with respect to leaking, has led to the search for alternatives. Recently, attempts have been made to spray on a suitable membrane. These have used a two-pack polyurethane material, but these have suffered from drawbacks such as complicated application, toxicity problems (from the isocyanate curing agents), bonding problems to wet shotcrete and inhibition of polyurethane formation because of high tunnel humidity has prevented the obvious potential benefits of such a method being realised.

It has now been found that it is possible to provide a suitable membrane by means of a method which avoids most or even all of the drawbacks hereinabove mentioned. There is therefore provided, according to the present invention, a process of providing a waterproof concrete structure comprising the steps of

- (a) providing a primary layer of a concrete composition on a support;
- (b) spraying on to this concrete composition a waterproofing layer; and
- (c) applying to the waterproofing layer a layer of a concrete composition;

5

15

20

25

characterised in that the waterproofing layer is provided by a composition which comprises as a binder an aqueous dispersion of coalescable particles of thermoplastic polymer.

The invention further provides a waterproof sandwich concrete structure comprising two layers of concrete separated by a coherent intermediate polymeric layer whose binder is coalesced particles of thermoplastic polymer.

By "support" is meant a untreated, water-permeable surface to which the waterproof concrete structure of this invention is applied. This will usually be a rough rock surface, but it may equally well be a man-made surface, such as a ceiling. The concrete compositions of steps (a) and (c) hereinabove described may be the same or different. In the case of the concrete composition of the primary layer (a), the scope of this term is considered to encompass not only simple concrete compositions (cold sprayed or prefabricated) but also such known variants as concrete followed by a levelling or smoothing layer of a spray mortar (up to 4mm).

By "binder" is meant a material which on drying forms a coherent, continuous film and by thermoplastic" is meant a material which does not react to form a crosslinked structure. By "coalescable particles" is meant particles of a film-forming suspension or emulsion which, on the removal of the continuous medium in which they are dispersed, at least partially merge to form a continuous, coherent film. The polymer dispersions which are useful in this invention are thus similar in nature to the film-forming aqueous dispersions which are used, for example, as film-forming media in aqueous "emulsion" household paints. Included in this definition of "binder" are compositions which include thermoplastic coalescable particles and cement.

The aqueous dispersion of coalescable thermoplastic polymer particles may be chosen from a wide range of materials known to the art, the nature of the polymer itself being unimportant. Thus, for example, suitable polymers include polyurethanes, polyesters, vinyls and acrylics. Particularly suitable polymers are addition polymers derived from ethylenically-unsaturated monomers by addition polymerisation. Particularly suitable materials within this group are those which have a glass transition temperature (Tg) such

10

15

20

25

that they remain in the "rubbery" condition under conditions of use, those having a degree of elastomeric properties being particularly desirable. It is preferred that the Tg be below 15°C, more preferably below -15°C. The weight solids contents of such dispersions typically lie within the range of 30-60%. Specific examples of suitable materials include polyurethanes, styrene-butadiene copolymers, ABS (acrylonitrilebutadiene-styrene) polymers, acrylonitrile-butadiene copolymers, styrene-acrylic copolymers, polsulphide dispersions, polyurethane-acrylic dispersions, polyisoprene and PVC latexes and copolymers of vinyl chloride and/or vinyl acetate with acrylic monomers such as (meth) acrylic acid and esters thereof. Materials such as bitumen emulsions may be used in conjunction with these materials, but as such materials do not coalesce, they should not comprise more than 50% by weight solids of the binder. This list is not exhaustive, and the skilled person equipped within the concept of this invention will readily be able to identify other suitable materials. Many such materials are available commercially and examples of suitable commercial materials include those sold by BASF AG. under the trade mark "Acronal" and those sold by Synthomer under the trade mark "Synthomer".

In addition to the aqueous dispersion, the composition may include other ingredients. One especially useful ingredient is filler. This not only "extends" the composition, but also roughens the surface, thus providing a "key" for a subsequently applied cementitious composition. Its presence is preferred. Typical examples of suitable fillers include quartz sand and quartz flour of average diameters in the range of from 0.04-1.5mm, as well as dolomite, tale, mica, barytes, iron oxide, titanium dioxide, rubber and plastics granules, lightweighted aggregates and glassy fumace residues such as "holospheres". Fibres of steel, glass or polymeric material can also be used, preferred examples of polymeric fibre being those of thermoplastic material, especially polyethylene and polyacrylonitrile, preferably with length of from 0.2-12mm and surface area of from 6-8M²/g.

There may also be added to the compositions of this invention standard ingredients in art-recognised quantities. Typical examples of additives whose presence may be beneficial include flow-enhancing agents, defoamers, dispersants, colouring materials, wetting agents, rheology modifiers and catalysts.

5

10

15

20

- 25

When there is no filler present, a composition for use in this invention may comprise 100% of dispersion. When desired, additives may comprise up to 5%, preferably 0.1-5% by weight (calculated on active ingredients of additive per weight of liquid dispersion). When filler is present (the preferred case), the composition preferably comprises 20-80% (more preferably 30-50%) by weight dispersion, 79.9-15% (more preferably 69.9-15%) by weight filler, and 0.1-5% by weight additive(s).

The weight of dispersion is the weight of the liquid dispersion and the weight of the additive is the weight of active ingredient.

10

5

The composition may be applied by spraying to a primary layer concrete. This is preferably shotcrete, but it may be other suitable cementitious compositions, such as polymer concrete. The membrane layer applied may vary in thickness, depending on the material used, the conditions of application and the properties (such as crack bridging ability) desired, but as a general rule it should have a thickness of 2-15mm, preferably 2-6mm. The application may be done in a single spraying pass or in several passes. To this sprayed composition is applied a further layer of cementitious composition, preferably shotcrete applied by spraying. The result is a "sandwich" construction. The preferred ways in which such a sandwich construction may be created are shown below:

20

		Variation	
	A	В	С
1 st. layer	shotcrete (typically 50-250mm thick)	prefabricated concrete elements (200-500mm)	shotcrete
2nd. layer	2-10mm thick membrane (Example 2 composition)	2-5mm thick membrane (Example 4 composition)	membrane (5-10mm)
3rd. layer	shotcrete (typically 50-250mm thick)	shotcrete or concrete placed in situ	poured concrete or concrete placed in situ

The preferred variation is the A variation. Included in the first layer is the possibility that there may be applied thereto a levelling mortar, this being from 2-15mm thick. The membrane can be sprayed on to the concrete 1-90 days after the application of the concrete. If spraying is consistent within 3 days after concrete application, there is the additional advantage that the water in the dispersion can help with the cement hydration. When the concrete of the first layer has been in place for a longer time (3-60 days), it may be necessary to wash the surface with water. This removes only residues and prewastes the surface, giving better membrane adhesion. As previously mentioned, it can be applied in a single pass or in a number of passes with suitable pauses to allow drying and/or hardening. In the multi-layer approach, one or more of the sprayed layers may include reinforcing fibres of glass, steel, ceramic or polymer; alternatively, reinforcing in the form of mesh or roving can be applied to still-wet membrane and the reinforcing then covered by a further layer of membrane.

- The structure thus formed has excellent waterproofing properties, coupled with excellent water vapour permeability, thus allowing any trapped water to escape through the membrane and avoiding any interfacial failure. In addition, it is durable, safe and easy to apply and relatively inexpensive.
- The invention is further described with reference to the following non-limiting examples in which all parts are expressed by weight.

A number of compositions are prepared by blending together the following combinations of ingredients:

25

30

)

5

10

Example 1

polymer dispersion ¹	30	parts
barytes	27	parts
calcium carbonate	42.5	parts
titanium dioxide	0.5	parts

1. styrene-acrylic ester copolymer emulsion 50% solids by weight ("Acronal" (trade mark) S361 (ex BASF))

Example 2

	polymer dispersion ²	40	parts
	calcium carbonate	55	parts
	defoamer ³	2	parts
5	dispersant ⁴	1	parts
	pigment⁵	2	parts

- 2. "Acronal" S361
- 3. "BYK-035" ex Byk Chemie, a mixture of hydrophobic components in a paraffinbased mineral oil
 - 4. "Pigment dispersant A" ex BASF, a 20% aqueous solution of ammonium polyacrylates
 - 5. black iron oxide "Bayferrox" (trade mark) 316 ex Bayer

15 Example 3

polymer dispersion ^o	50	parts
barytes	48	parts
defoamer ⁷	1	parts
dispersant ⁸	l	parts

20

- 6. "Acronal" 6210 (styrene-acrylic ester copolymer)
- 7. "Agitan" (trade mark) 731 ex Münzing Chemie GmbH. a modified organopolysiloxane
- 8. "Pigment dispersant A".

25

Example 4

	polymer dispersion ⁹	40	parts
	calcium carbonate	32	parts
	defoamer ¹⁰	2	parts
30	pigment dispersant ¹¹	0.5	parts
	pigment ¹²	0.5	parts
	barytes	22	parts
	acrylic fibres 0.5mm long	1	parts

- 9. "Acronal" \$361
- 10. BYK-035
- 11. "Pigment dispersant A"
- 5 12. red iron oxide "Bayferrox" 105M

Example 5

polymer dispersion¹³ 60 parts calcium carbonate 40 parts

10

13. styrene-butadiene-acrylic ester copolymer emulsion 53% solids ("Synthomer" 33v 20 (ex Synthomer))

Example 6

15 An example of a mixed system (polymer dispersion + cement)

polymer dispersion¹⁴ 55 parts portland cement 14.8 parts quartz sand 0.1-0.4mm 8 parts

quartz flour 22 parts

20 polyethylene fibres,

average length 0.2mm 0.2 parts

 acrylic ester-acrylonitrile copolymer emulsion 55% solids by weight ("Acronal" DS 6137X)

25

Example 7

polymer dispersion¹⁵

polyethylene/polypropylene fibres

1.5 parts

barytes

hollow glass spheres

water

35 parts

1.5 parts

48 parts

5.5 parts

Testing of compositions

The compositions according to Examples 2 and 3 are sprayed on to concrete plates of dimensions 500x500x40mm at a film build of 2mm and tested. The results are shown in Table 1.

Table 1

5

Property measured	Result		
	Example 2	Example 3	
bonding strength (N/mm ²) ¹	0.6	0.6	
strain at rupture (%) ²			
- at room temperature	250	140	
- at -20°C	63	40	
stress (N/mm²)³ at rupture			
- at room temperature	0.8	1.7	
- at -20°C	8.5	7.7	
tear propagation (N/mm) ⁴	11	12	
(at room temperature)			
water absorption (%)	5	10	
(3d at room temperature)			

1. measured according to DIN/ISO 4624

10 2. measured according to DIN 53504

measured according to DIN 53504

4. measured according to DIN 53515

5. measured according to DIN 62617

The crack-bridging ability of the compositions of the invention depends on the thickness of the membrane deposited. The excellent crack-bridging ability of the compositions according to the invention is demonstrated by the testing of the composition of Example 2 on a universal testing machine. In this method, a cylindrical specimen of concrete (diameter 50mm, thickness 30mm) is stretched on the machine at a rate such that there is generated in the concrete a continuous transverse crack at a rate of 0.1 mm/min. The

crack width in the concrete is measured at the point when there occurs in the membrane a crack extending completely through it. The results are shown in Table 2.

Table 2

membrane	test temperature	crack width in concrete
thickness (mm)	(°C)	(mm) at through cracking point in membrane
0.7	20	1.5
	-20	1.0
1.7	20	2.7
	-20	2.1
2.3	20	4.1
	-20	3.6

Ļ

Claims:

5

10

- 1. A process of providing a waterproof concrete structure comprising the steps of
 - (a) providing a primary layer of a concrete composition on a support;
 - (b) spraying on to this concrete composition a waterproofing layer; and
 - (c) applying to the waterproofing layer a further layer of a concrete composition;

characterised in that the waterproofing layer is provided by a composition which comprises an aqueous dispersion of coalescable particles of thermoplastic polymer.

- 2. A process according to claim 1, wherein the thermoplastic polymer is an addition polymer produced by polymerisation of ethylenically-unsaturated monomer.
- 15 3. A process according to claim 1 or claim 2, wherein the polymer has a glass transition temperature (Tg) such that it remains in the "rubbery" condition under conditions of use.
- 4. A process according to any one of claims 1-3, wherein the polymer has a degree of elastomeric properties.
 - 5. A process according to any one of claims 1-4, wherein the Tg of the polymer is below 15°C
- 25 6. A process according to claim 6, wherein the Tg is below -15°C.
 - 7. A process according to any one of claims 1-6, wherein the composition comprises either or both of fillers and additives.
- 30 8. A process according to clain 7, wherein the composition consists of 20-80% by weight dispersion, 79.9-15% by weight filler(s), and 0.1-5% by weight additive(s).

 A waterproof sandwich concrete structure comprising two layers of concrete separated by a coherent intermediate polymeric layer whose binder is coalesced particles of thermoplastic polymer.

	Inter na	Application No
ĺ	PCT/EP	97/06732

a. classi IPC 6	ification of subject matter C04B41/71 E21D11/10 E21D1	1/38 E04B1/66	//C04B111/27
According to	o International Patent Classification(IPC) or to both national clas	ssification and IPC	
B. FIELDS	SEARCHED		
Minimum do IPC 6	ocumentation searched (classification system followed by classif CO4B E21D	lication symbols)	
Documenta	tion searched other than minimum documentation to the extent t	hat such documents are included in t	he fields searched
Electronic d	lata base consulted during the international search (name of dat	ta base and, where practical, search	terms usea)
C. DOCUM	ENTS CONSIDERED TO BE RELEVANT		
Category '	Citation of document, with indication, where appropriate, of th	e relevant passages	Relevant to claim No.
Υ	PATENT ABSTRACTS OF JAPAN vol. 018, no. 465 (M-1665), 30 & JP 06 146798 A (NIPPON KENS KYOKAI;OTHERS: 01), 27 May 199 see abstract	ETSU KIKAIKA	1-9
Y	EP 0 460 744 A (C-CURE CHEMICA December 1991 see page 3, line 34 - line 53 see examples 1,6,7 see claims 1-20	L CO INC) 11	1-9
A	PATENT ABSTRACTS OF JAPAN vol. 018, no. 291 (C-1208), 3 & JP 06 057060 A (TONEN CHEM March 1994, see abstract	June 1994 CORP), 1	1-9
Furt	ther documents are listed in the continuation of box C.	X Patent family member	s are listed in annex.
"A" docum consid "E" earlier filing ("L" docume which	ategories of cited documents: ent defining the general state of the art which is not dered to be of particular relevance document but published on or after the international date ent which may throw doubts on priority claim(s) or is cited to establish the publicationdate of another or or other special reason (as specified)	cited to understand the prinvention "X" document of particular relectant to considered not involve an inventive step "Y" document of particular rele	conflict with the application but inciple or theory underlying the evance; the claimed invention ret or cannot be considered to when the document is taken alone
other	nent referring to an oral disclosure, use, exhibition or means lent published prior to the international filing date but than the priority date claimed	document is combined wi	th one or more other such docu- being obvious to a person skilled
Date of the	actual completion of theinternational search	Date of mailing of the inter	national search report
3	30 March 1998	06/04/1998	
Name and	mailing address of the ISA European Patent Office, P.B. 5818 Patentlaan 2 NL - 2280 HV Rijswijk	Authorized officer	
	Tel. (+31-70) 340-2040, Tx. 31 651 epo nl. Fax: (+31-70) 340-3016	Rosenberger	·, J

Form PCT/ISA/210 (second sheet) (July 1992)





AU 647476 B	24-03-94
AU 7728891 A CA 2043094 A,C DE 69126921 D	12-12-91 07-12-91 04-09-97
_	

(1978,94) MUAJB 3DAG ZIHT